



### Appendix 1: Corporate Risk Matrix

 <b>Risk Severity</b>	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
	<b>Risk Likelihood</b> 					

## Appendix 2: Corporate Risk Register

CR1	Culm Garden Village	Current Severity	Current Likelihood	Current Risk Rating
		4	4	16
<b>Risk Description:</b> Possible discontinuance of Government funding support.				
<b>Risk Owner:</b> Adrian Welsh		<b>Risk Type:</b> Economic/ Financial		
<b>Mitigating Actions</b>		<b>Responsible Officer</b>	<b>Current Effectiveness</b>	<b>Review Date</b>
CR1.1	Funding opportunities : Lobby for the creation of further funding opportunities and for further rounds of the garden communities capacity funding	Adrian Welsh	Action Required	28/07/2023
CR1.2	Further bids for capacity funding: To continue to secure external funding to support the project	Tristan Peat	Action Required	28/07/2023
<b>Notes:</b> This risk relates to the funding sources in place for the Culm Garden Village, rather than the delivery of the project.				

CR2	Cyber Security	Current Severity	Current Likelihood	Current Risk Rating
		5	4	20
<b>Risk Description:</b> Inadequate Cyber Security could lead to breaches of confidential information, damaged or corrupted data and ultimately Denial of Service. If the Council fails to have an effective ICT security strategy in place. Risk of monetary penalties and fines, and legal action by affected parties.				
<b>Risk Owner:</b> Brian Trebilcock		<b>Risk Type:</b> Data Protection/Information Security		
<b>Mitigating Actions</b>		<b>Responsible Officer</b>	<b>Current Effectiveness</b>	<b>Review Date</b>
CR2.2	Awareness training and desktop cyber event testing: National Cyber Security Centre (NCSC) staff/ Member training now mandatory. Cyber SharePoint site created. A cyber desktop exercise planned summer to test Disaster Recovery/Cyber planning/response with Local Government Association/Emergency Planning College will include participation at Director/Member level - schedule tbc.	Lisa Lewis	Satisfactory	14/07/2023

	An ICT/InfoGovernance board to commence after the May local elections which will meet quarterly to monitor cyber/data related activities and manage/monitor risk at senior levels.			
CR2.3	Firewall Replacement: Replaced unsupported firewall and old hardware. Improved response and logging of connections/ authentications, web filtering, anti-virus scanning etc.	Lisa Lewis	Fully Effective	14/07/2023
CR2.4	Multi Factor Authentication on VPN: Reduce risk of unauthenticated/ unauthorised access to network - testing being planned	Lisa Lewis	Action Required	14/07/2023
<p><b>Notes:</b>  LGA Technical Incident exercise is scheduled was delayed from early June 2023, to be completed 20th July on-site at Phoenix House. LGA/ EPC Organisational Incident response exercise is scheduled for 30 June 2023, this has been delayed and awaiting rescheduling after the first ICT Security Board meeting. Review of mandatory Cyber Awareness training ongoing, on last check 78% annual completion rate.</p> <p>The introduction of email 'Phishing' simulations will commence as soon as the ICT security board has been convened and approval has been sought. ICT Security Board (IMIGB) will be convened as soon as the new elected members are settled - 28th July 2023.</p> <p>CR2.3 and CR2.4 Added in July 2023. Actions CR2.2 and CR2.3 are now complete.</p>				

CR3	Failure to meet Climate Change Commitments by 2030	Current Severity	Current Likelihood	Current Risk Rating
		3	5	15
<p><b>Risk Description:</b> Due to a variety of factors, there is a risk that the Council will not meet its goal of becoming carbon neutral by 2030. There is also a risk that the Council will not achieve district-wide progress to meet obligations under the Climate Act 2008 for climate adaptation (resilience) and mitigation (emission reductions).</p>				
<b>Risk Owner:</b> Andrew Busby		<b>Risk Type:</b> Environmental		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR3.1	Policy and Strategy: Policy and strategy relevant to the climate emergency includes: <ul style="list-style-type: none"> <li>• Corporate Plan 2020-2024 sets a number of relevant aims;</li> <li>• Climate Strategy and Handbook 2020-2024;</li> <li>• Housing Strategy 2021-2025;</li> <li>• Procurement Strategy (March 2023);</li> </ul>	Jason Ball	Satisfactory	17/07/2023

	<ul style="list-style-type: none"> <li>• Cabinet adopted a new Climate Emergency planning policy statement (March 2023);</li> <li>• Local Plan 2013-2033 review; Plan Mid Devon sets the Climate Emergency as the top overarching priority for the next Local Plan.</li> </ul>			
CR3.2	Oversight and decision-making: To embed a consistent approach to committee reports, project reports and decision-making, considering the potential climate impacts and opportunities and adaptation needs linked to the climate crisis.	Jason Ball	Action Required	17/07/2023

**Notes:**

Good progress has been made in many aspects such as electricity usage and the delivery of our first electric vehicles, however the overall carbon footprint has increased. This is in part due to the additional capital investment undertaken including the Salix decarbonisation works, building and retrofit projects which have an “Emissions Factor” assessment based on spend. This investment will make a difference in the future. Plans are also being developed for the next major projects which will also contribute to carbon reduction in the future.

CR4	Homes for Ukraine Scheme	Current Severity	Current Likelihood	Current Risk Rating
		3	3	9
<b>Risk Description:</b> There is a risk of the ‘Homes for Ukraine scheme’ failing should the host relationship breakdown and re-matching is not an option. Where refugees cannot afford to pay for private accommodation the Council has a Homelessness Duty.				
<b>Risk Owner:</b> Simon Newcombe		<b>Risk Type:</b> Social		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR4.1	Collaboration: Continue to engage with DLUHC, LGA and DCN on scheme roll out, pressures and risks/updated national guidance etc. Reviewing a Devon-wide exit strategy around pending housing/accommodation pressures once hostings end – joint solutions (work in progress).	Simon Newcombe	Satisfactory	17/07/2023
CR4.3	Re-matching demand: Re-matching demand is relatively low (host/guest arrangements ending early) and single figures but starting to see increase due to rurality of some hosts and requirement to be closer to employment, services and schools.	Simon Newcombe	Satisfactory	17/07/2023
CR4.4	Team Devon: Petroc offer a myriad of informal network events will help support transition to sustainable residency (employment,	Simon Newcombe	Fully Effective	17/07/2023

	language, skills, accommodation, schools, etc.) and help during summer holiday period – likely to be testing for some host/guest relationships. Negotiated strong Petroc offer for summer holidays and longer-term programme inc. Tiverton campus. Summer programme (get to know – family cookery, arts and crafts, physical activity, trips to local attractions).			
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**Notes:**  
Local Authority Housing Fund Round 1 funding secured and two properties acquired and now occupied as temporary accommodation for Homes for Ukraine families. Private Sector transition support continues to be effective and overall number of families in hosted arrangements continues to fall.  
CR4.4 marked as complete July 2023.

CR5	Information Security	Current Severity	Current Likelihood	Current Risk Rating
		4	3	12
<b>Risk Description:</b> Inadequate data protection could lead to breaches of confidential information and ultimately enforcement action by the ICO.				
<b>Risk Owner:</b> Giovanni Wallace		<b>Risk Type:</b> Data Protection/Information Security		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR5.1	Completion of ROPA/RACI: Audit of our Records of Processing Activities (ROPA) and data ownership comprised of identified Responsible, Accountable, Consulted, Informed (RACI model) being compiled.	Lisa Lewis	Action Required	18/07/2023
CR5.2	Convening of IT/IG Board: Requirement for Cyber and Information governance and corporate oversight. Board has been convened 28 Jul 2023.	Lisa Lewis	Fully Effective	18/07/2023
<b>Notes:</b> Work is continuing on the completion of the ROPA/RACI. A quarterly meeting for a newly convened ICT/Info Governance board took place on 28 July, this will support the council highlight/better manage compliance and risk. A recent audit has provided limited assurance due to lack of governance arrangements and therefore the risk score is not in a position to be improved at this point until further work is completed. CR5.1 and CR5.2 added in July 2023. CR5.2 is now complete				

CR7	Financial Sustainability	Current Severity	Current Likelihood	Current Risk Rating
		4	4	16
<p><b>Risk Description:</b> The council faces a range of financial challenges. We are subject to ongoing budget reductions whilst the cost of providing services continues to increase due to a range of inflationary pressures. We are also subject to single year budget settlements which impacts on the ability for medium term financial planning. We need to be able to plan and meet these challenges so that we can continue to deliver effective services and achieve the priorities we wish to.</p>				
<p><b>Risk Owner:</b> Paul Deal</p>		<p><b>Risk Type:</b> Economic/Financial</p>		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR7.1	Business Plans: Service Business Plans are reviewed each financial year with suggestions for revised performance targets based on budget to be agreed by Cabinet Member and PDG.	Paul Deal	Satisfactory	17/07/2023
CR7.2	Identify Efficiencies: Taking proactive steps to increase income and reduce expenditure through efficiencies, vacancies that arise and delivering services in a different way.	Paul Deal	Satisfactory	17/07/2023
CR7.3	Reserves: Cabinet have taken the decision to recommend a minimum general reserve balance of £2m.	Paul Deal	Action Required	17/07/2023
CR7.4	Set Budget: Each year as part of the budget setting process, members are consulted via PDGs in time to evaluate savings proposals.	Paul Deal	Satisfactory	17/07/2023
CR7.5	Medium term planning: Work to close the budget gap is on-going. A range of options are being considered but Covid, business rates and uncertainty over fair funding review make the situation extremely challenging. To close the budget gap and maintain services: We continue to work with managers to reduce costs and explore new income streams.	Paul Deal	Action Required	17/07/2023
<p><b>Notes:</b> Work continues to identify the in-year savings required to offset the draw from reserves with good progress being made. Medium Term Financial Plan discussions also are in progress with a strategy being developed that will deliver a balanced budget for 2024/25 and mitigate longer term shortfalls.</p>				

CR8	Quality of Planning Committee Decisions	Current Severity	Current Likelihood	Current Risk Rating
		4	4	16
<b>Risk Description:</b> Planning decisions are monitored at Government level nationally – the risk is to stay significantly below 10%. Over 10% could put a Local Planning Authority into special measures. Links to Performance Indicator measures 11a, 11b, 12a and 12b.				
<b>Risk Owner:</b> Angharad Williams		<b>Risk Type:</b> Reputation		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR8.1	Planning Advisory Service Committee Review being undertaken: To minimise risk associated with decision making and Government targets	Angharad Williams	Satisfactory	26/07/2023
CR8.2	Planning Advisory Service Training being undertaken: To minimise risk associated with Government targets and decision making	Angharad Williams	Satisfactory	26/07/2023
CR8.3	Regular informal planning committee meetings: Keeping planning committee informed of all appeals and upcoming planning policy, and any actions the Council is making.	Angharad Williams	Satisfactory	26/07/2023
<b>Notes:</b> Committee are making sound decisions and this will reduce the risk.				

CR9	SPV – 3 Rivers – Failure of the Company	Current Severity	Current Likelihood	Current Risk Rating
		5	5	25
<b>Risk Description:</b> This will depend on Economic factors and the Company's success in the marketplace commercially. For MDDC the impacts will be: <ul style="list-style-type: none"> <li>• 3 Rivers are unable to service and repay the loan from MDDC</li> <li>• Not receiving the forecast additional income</li> <li>• Not supporting corporate objectives.</li> </ul>				
<b>Risk Owner:</b> Paul Deal		<b>Risk Type:</b> Economic/Financial		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR9.1	Cabinet: Regular meetings with Shareholder Representatives and updates to Cabinet on progress with the recommendations action plan and projects.	Andrew Jarrett	Satisfactory	17/07/2023

CR9.2	Regular monitoring: The Board of 3 Rivers deliver a half yearly report to the Cabinet which provides an update on their delivery against their business plan. We charge interest to them at a commercial rate in order to maintain an “arms-length” relationship and the interest provides some mitigation to the outstanding principal.	Andrew Jarrett	Satisfactory	17/07/2023
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**Notes:**

The independent options appraisal of the company is currently being progressed with a report to cabinet due at the end of August 2023. Works at St George’s is due to complete within the next month and the Bampton site is also due to complete around September/October. Sales are positive on the Bampton site. All other works have ceased mitigating any further costs.

CR10	Cullompton Town Centre Relief Road	Current Severity	Current Likelihood	Current Risk Rating
		5	5	25

**Risk Description:** Inability to deliver the Cullompton Town Centre Relief Road

**Risk Owner:** Adrian Welsh

**Risk Type:** Economic/Financial

Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR10.1	Alternative Funding: Alternative funding opportunities continually being explored.	Adrian Welsh	Action Required	20/07/2023
CR10.2	Ongoing Homes England Discussions: Officers discussing ongoing Housing Infrastructure Fund support and potential for other funding possibilities	Adrian Welsh	Action Required	20/07/2023
CR10.3	Ongoing discussions with land promoters: Ongoing discussions to maximise private funding potential.	Adrian Welsh	Action Required	20/07/2023
CR10.4	Land Assembly: As part of the next steps Officers also propose to continue land assembly discussions so as to seek opportunities to de-risk the project and assist in unlocking the scheme’s delivery.	Richard Marsh	Action Required	20/07/2023
CR10.5	Continue to develop and deliver complementary projects: Continued delivery of related schemes (such as the Railway Station and the Heritage Action Zone public realm scheme) help to demonstrate the case for investment in the town and that Cullompton is geared up for delivery.	Adrian Welsh	Action Required	20/07/2023



CR10.6	Government Lobbying: Working with local MPs, Devon County Council and senior Members to lobby for investment.	Richard Marsh	Action Required	20/07/2023
<b>Notes:</b> Mitigating Actions CR10.2 to CR10.6 were added in July 2023.				

<b>CR11</b>	<b>Cost of Living Crisis</b>	<b>Current Severity</b>	<b>Current Likelihood</b>	<b>Current Risk Rating</b>
		4	4	16

**Risk Description:**  
The high rates of inflation experienced in 2022 and 2023 have the potential to impact on council employees, residents, communities and businesses in Mid Devon. In turn this may affect the council in terms of increased costs, reduced council income, and put additional pressure on council services.

**Risk Owner:** Dean Emery      **Risk Type:** Financial, Social

<b>Mitigating Actions</b>		<b>Responsible Officer</b>	<b>Current Effectiveness</b>	<b>Review Date</b>
CR11.1	Benefit administration: The council delivers a range of benefits which support the financial position of our residents. This includes the Housing Support Fund, Discretionary Housing Fund, and the Exceptional Hardship Fund.	Fiona Keyes	Fully Effective	16/06/2023
CR11.2	Council Tax Reduction Scheme: The council has introduced a new scheme (from 1 April 2023) which provides a more generous level of support.	Fiona Keyes	Fully Effective	16/06/2023
CR11.3	Shared Prosperity Fund (SPF): The SPF and Rural England Prosperity Fund Investment Plans have a number of projects designed to support businesses and community organisations over Jan 2023 – March 2025. This includes grant schemes to support innovation and decarbonisation projects including those that reduce energy costs and increase productivity.	Zoë Lentell	Fully Effective	16/06/2023

**Notes:**  
Housing Support Fund: Payments are made with funding issued to Devon County Council (DCC) from the Department for Work and Pensions (DWP). Support is made available by issuing vouchers for food and energy costs. Funding is spent within timescales outlined by the DWP.  
Discretionary Housing Fund: Funding received from DWP and there are legal rules as to how this is distributed, rather than allowing for local policy.  
Exceptional Hardship Fund: Money from DCC

CR12	Housing Crisis	Current Severity	Current Likelihood	Current Risk Rating
		4	3	12
<p><b>Risk Description:</b>  Failure to supply sufficient housing to meet Mid Devon's needs leading to increased homelessness and increased temporary accommodation (TA). There may be insufficient TA to meet demand and financial pressure is placed on the Council through increasing volume of and dispersed provision of TA. Co-linked failure to prevent homelessness occurring through increasing demand on resources, poor existing housing and failure to meet prevention duty/deliver mitigating actions including support to vulnerable residents.</p> <p>It is a statutory duty on the Council to prevent and provide relief/assistance to people threatened with or actually presenting as homeless. There is a local, regional and national shortage of affordable housing including social housing at the most affordable social rent level with a significant, growing waiting list of those registered on Devon Home Choice. Together with the current, ongoing cost of living crisis and other pressures this is leading to a growing housing crisis.</p>				
<b>Risk Owner:</b> Simon Newcombe		<b>Risk Type:</b> Financial, Social		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR12.1	MDDC Housing Strategy 2021-2025: Coherent, corporate approach to providing affordable homes and maintaining housing quality	Simon Newcombe	Action Required	16/06/2023
CR12.2	MDDC Homeless Prevention & Rough Sleeping Strategy 2020-2025: Focus on rough sleeping, prevention, accommodation options and client support	Simon Newcombe	Satisfactory	16/06/2023
CR12.3	Strategic lobbying on social housing funding, flexibilities and homelessness pressures: Continued membership of DLUHC LA Strategic Housing Advisory Group	Simon Newcombe	Satisfactory	16/06/2023
CR12.4	Devon Housing Forum: Regional engagement and collaboration on affordable housing delivery and supported housing – continued engagement	Simon Newcombe	Satisfactory	16/06/2023
CR12.5	Local Plan housing delivery: Market provision of affordable homes	Tristan Peat	Action Required	16/06/2023
CR12.6	Mid Devon HRA Development Programme: 500 new homes 2022/23 – 2026/27	Simon Newcombe	Satisfactory	16/06/2023
CR12.7	Temporary Accommodation: Opportunities to purchase HMO or similar shared market accommodation to meet TA	Simon Newcombe	Satisfactory	16/06/2023

	needs/successful business cases made into capital programme. Two HMOs recently purchased, available 2023/24			
CR12.8	Empty Homes: Bringing empty homes back in to use/local leasing scheme for TA (link to CR12.7) or to alleviate wider	Simon Newcombe	Action Required	16/06/2023
CR12.9	Long-term development voids: Effective use of long-term development voids in Mid Devon Housing stock as TA where safe	Simon Newcombe	Fully effective	16/06/2023
CR12.10	Ivor Macey House: Ongoing provision of Ivor Macey House supported TA accommodation (MDH HRA lease to G/F)	Simon Newcombe	Fully effective	16/06/2023
CR12.11	Housing Options team staff case load resourcing: Rolling review and successful vacancy approvals	Simon Newcombe	Satisfactory	16/06/2023
CR12.12	Homelessness Prevention Grant: Full utilisation of Homelessness Prevention Grant	Simon Newcombe	Satisfactory	16/06/2023
CR12.13	Funding applications: Successful bids into DLUHC Rough Sleeper Initiative (RSI). £300k+ RSI secured over 3-year programme from 2022/23	Simon Newcombe	Satisfactory	16/06/2023
CR12.14	Successful drawdown of Local Authority Housing Funding (2023/24): Homes for Ukraine/Afghan Schemes, two properties purchased under Phase 1, Phase 2 under review	Simon Newcombe	Satisfactory	16/06/2023
CR12.15	Private Sector Homes for Ukraine: Team Devon Homes for Ukraine scheme Private Sector Housing transition support	Simon Newcombe	Satisfactory	16/06/2023
CR12.16	Residents Financial Support: Cost of living pressure, grants and signposted support, help with/access to benefits ( <a href="https://www.middevon.gov.uk/residents/residents-financial-support/">https://www.middevon.gov.uk/residents/residents-financial-support/</a> )	Dean Emery	Satisfactory	16/06/2023
CR12.17	Housing Assistance Policy (Better Care Funding): living well at home/homeless prevention and Home Start grants/loans	Simon Newcombe	Satisfactory	16/06/2023
<p><b>Notes:</b>  There has been an increase in those seeking assistance from the Council due to homelessness of 52% since 2020/21 (550 presentations vs 837 in 2022/23).The level of case complexity is also increasing, impacting on caseload capacity and ability to seek accommodation and support clients appropriately to develop effective Personal Housing Plans.</p> <p>Increased regulation and pressures on private sector landlords are resulting in a fall in available private rented accommodation through sale of homes and/or increased switch to short-term holiday let accommodation or other uses. Resultant supply/demand pressures are driving rents</p>				

upwards beyond inflationary levels in the remaining stock. This impacts financially vulnerable residents further and reduces options for effective homelessness interventions.

Providing the relevant type and volume of TA to meet our statutory responsibilities continues to become more challenging. Beyond increasing demand there is a reduction in available 'spot purchased' accommodation due to changing accommodation market with fewer hotel/B&B bed spaces available for TA with several major national or regional providers withdrawing availability in recent years. More family group presentations, increased complexity of cases and more vulnerable needs means less accommodation is suitable and/or fewer providers are willing to provide accommodation due to actual or perceived level of risk.

Growing refugee support schemes (e.g. Afghan and Homes for Ukraine) increases risk of homelessness presentations further, notably as schemes end and national support is reduced with a legal duty for housing continuing to be held locally.

Other statutory housing standards work (notably damp & mould/Awaab's law and fire safety) will continue to divert potential resource away from some mitigating actions to proactively reduce this risk.

This risk also has interdependencies with Corporate Risk 11: Cost of Living Crisis.

CR13	Operation of a Waste Management Service	Current Severity	Current Likelihood	Current Risk Rating
		4	3	12
<b>Risk Description:</b> Operating and maintaining a continuous waste management service across Mid Devon within budget faces a range of risks. These include staff recruitment and retention, workforce sickness and the maintenance and operation of fleet vehicles.				
<b>Risk Owner:</b> Matthew Page		<b>Risk Type:</b> Financial, Technical, Reputational		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR13.1	Workforce management: Regularly reviewing (Morning Managers' catch-up calls, monthly budget monitoring and quarterly performance reviews) the state of the workforce and how it is performing in terms of vacancies, recruitment, sickness and the impact it is having on collections and rounds. This also includes reviewing our Business Continuity Plan and whether we need to widen the flexible provision of the workforce.	Darren Beer	Satisfactory	21/07/2023

CR13.2	Employment Trends: Review trends in the wider employment market regarding key workers including HGV drivers and what the Council needs to do to ensure we are industry competitive regarding recruitment.	Darren Beer	Satisfactory	21/07/2023
CR13.3	Fleet Vehicles: Vehicle provision including maintenance and operation is reviewed on a daily basis by the Fleet Manager. Two weekly meetings are set up with SFS (maintenance and lease provider) backed up by quarterly meetings with MDDC and SFS management. Regular meetings are set up with other MDDC services that use the fleet to ensure current contractual guidelines and compliance are adhered to.	Darren Beer	Satisfactory	21/07/2023
<b>Notes:</b> Risk Likelihood has increased from 2 to 3, increasing overall risk rating from 8 to 12. Change in risk due to increased levels of sickness which includes several cases of long term sickness.				

CR14	Workforce Shortage	Current Severity	Current Likelihood	Current Risk Rating
		3	2	6
<b>Risk Description:</b> If the Council fails to manage sickness absence, recruit and/or retain sufficient suitable staff it may not be able to maintain essential and/or statutory services.				
<b>Risk Owner:</b> Matthew Page		<b>Risk Type:</b> Legal, Financial, Reputational		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR14.1	Sickness Absence: Review and monitor sickness absence data to identify trends and patterns behind sickness absence	James Hamblin	Satisfactory	01/08/2023
CR14.2	Monitor and Manage Staff Turnover: Review data from the exit interview process to identify trends and patterns behind why staff leave.	James Hamblin	Satisfactory	01/08/2023
CR14.3	Retention: Consideration of employee benefits at the Council.	James Hamblin	Satisfactory	01/08/2023
<b>Notes:</b> CR14 Added to the Corporate Risk Register in August 2023. There are relatively high sickness absence levels which reflect national trends.				